

REF 2021 Privacy Notice: version 1.7.3

The “REF 2021 Privacy Notice” is relevant to the following groups of individuals:

1. Current University of Edinburgh employees (employed during the REF assessment period) who are considered to be REF-eligible (Category A eligible); this includes individuals with a primary employment function of “Teaching & Research” and will include staff with a primary employment function of “Research only” (see Table 1, 3 and 4) who are deemed to be independent research in accordance protocol given in the University’s REF2021 Code of Practice
2. Former or formerly eligible University of Edinburgh employees (employed during the REF assessment period) who were REF-eligible at the time of ceasing employment or continue to work at the University but are no longer REF-eligible and who have research outputs that were generated while they were employed at the University during the REF assessment period (see Table 2, 3 and 4).
3. Individuals who are not employed by the University but whose contract or job role includes the undertaking of research primarily focused at the University during the REF assessment period (see Table 3) and have carried out some or all of the research that underpins a REF3.
4. Graduates from research postgraduate programmes whose information we will use to produce statistical information for REF 2021 (see Table 4).
5. Individuals who are not employed by the University but who have provided testimonials concerning the development of impact case studies in relation to the University’s preparations for the REF 2021 exercise (see Table 5).
6. Individuals who are not employed by the University but who have provided their details to corroborate the industrial significance of one or more outputs in Units of Assessment (UOAs) 11 (Computer Science and Informatics) and 12 (Engineering) (see Table 6).

The REF 2021 Privacy Notice explains what personal information the University holds about you in relation to the REF 2021 exercise, detailing why we hold this information, what we do with it, how long we keep it for and if we share it with third parties.

“Personal information” means any piece of information which can identify you, that is, the information would make it clear to others that the information is about you. It can be a single piece of information, for example, your name or staff number. Or it can be separate pieces of information, for example, your School, gender and grade, which, when combined, would help others identify you.

We collect and use your personal information for the purpose of the REF 2021 exercise, principally to ensure that the University meets the validation requirements for the submission for REF 2021. For example, REF 2021 rules require the University to provide key information about current staff being submitted by the University to the exercise.

We also use individual information to help us understand the make-up of our research active staff population. We use it to undertake equality impact assessments to help inform our decision making processes in relation to current and future research assessments.

The tables below describe the information we hold and what we need it for. They also explain the basis we can legally rely on to request and retain information about you. In the main, legal basis will be described as “the University’s legitimate interest”. This means we need the information to ensure that the University can participate fully in the REF 2021 process, the purpose of which is to:



- provide accountability for public investment in research and produce evidence of the benefits of this investment;
- provide benchmarking information and establish reputational yardsticks, for use within the higher education sector and for public information;
- and, importantly, inform the selective allocation of funding for research

In a limited number of cases, the legal basis will be explicit consent and this is detailed in the tables below.

We get information from you, University documents, or from third parties including research users.

We will keep your personal data for no longer than necessary. The retention periods for staff data and the University's general staff Privacy Notice are detailed on the University's Human Resources pages. The team within the University making the submission to REF 2021 obtain the required personal data of staff from central HR. For students and graduates, the general retention period for student data is detailed in the University's student privacy statement. While the retention periods for staff data are determined by how long the individual is in the employment of the University, the REF Team will dispose of all personal data for current and former staff, students, as well as for individuals who have provided testimonials, no later than the end of April 2023. Note that for former staff this may be longer than the standard 6 year retention period for personal data. We share categories of your personal data with REF 2021 via a secure website to meet the validation requirements of the submission. Other third parties we share your data with are listed in Table 7 below. In these circumstances, we will only share your data if we are required to do so by law, you ask us to do so, or we are contractually obliged to do so.

We do not use automated decision-making processes.

Additional information:

- General information about the University's approach to data protection and to your rights can be found here: www.ed.ac.uk/records-management Data Protection | The University of Edinburgh
- Further information about REF 2021 is available online: www.ref.ac.uk
- General University Staff Privacy Notice: www.ed.ac.uk/human-resources/privacyinformation-notice
- The University's retention schedule for staff personal data: www.ed.ac.uk/files/atoms/files/hr_retention_schedule.pdf
- Data will be stored in line with the University of Edinburgh's Information Security Policy which is available online: www.ed.ac.uk/files/atoms/files/ue_informationsecuritypolicy_v1.0.pdf
- Further information about GDPR and Data Protection is available here: <https://eugdpr.org/> and Data protection - GOV.UK (www.gov.uk) and Guide to the UK General Data Protection Regulation (UK GDPR) | ICO.

Definitions:

REF = Research Excellence Framework, the system for assessing the quality of research in UK higher education institutions

REF Data Inclusion Period = 1 August 2013 to 31 July 2020 (still to 31st July 2020)

Category A Eligible/Submitted Staff = Staff defined as academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date (31 July 2020),



whose primary employment function is to undertake either “Research only” or “Teaching & Research”. Staff should have a substantive connection with the submitting unit. Staff with a primary employment function of “Research only” should meet the REF 2021 definition of an independent researcher.

Category C Staff = Staff defined as individuals employed by an organisation other than an HEI, whose contract or job role (as documented by their employer) includes the undertaking of research, and whose research is primarily focused in the submitting unit.

ECR = Early Career Researcher. In REF terms this means members of staff who meet the definition of Category A Eligible on the census date, and who started their careers as independent researchers on or after 1 August 2016.

Primary employment function = As defined in the University’s HR system which was in use at the time of the REF2021 staff census date (“Job Segment 3” - Academic job segment 3 map to HESA Academic Employment Function (Teaching only, Research and teaching, Research only)

UOA = Unit of Assessment – subject area in which research is submitted to REF 2021.

REF Team, Strategic Planning (formerly Governance and Strategy Planning). Original March 2019, Revised January 2021, Current version February, REF2021@ed.ac.uk

Table 1: Personal data of current Category A Eligible/Submitted staff

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis, and specific condition (where relevant))</i>
HESA staff identifier, PURE ID and staff number	To assist with the University's REF 2021 preparations. Data required by REF 2021 for all Category A Submitted staff on form REF1a ¹ . Data will be submitted to REF as part of the University's submission, March 2021 Data required by REF 2021 in relation to voluntarily declared staff circumstances for form REF6a/b ² . Data will only be shared with REF if unit-level reduction requests and/or requests to remove the minimum of one requirement are made, or if required to do so on auditing.	The University's legitimate interest.
Name (initials and surname)	To assist with the University's REF 2021 preparations. Data required for all Category A submitted staff on form REF1a form. Data will be submitted to REF as part of the University's submission, March 2021	The University's legitimate interest.
Date of birth	To assist with the University's REF 2021 preparations. Data required for all Category A submitted staff on form REF1a form. Data will be submitted to REF as part of the University's submission, March 2021	The University's legitimate interest.
Open researcher and contributor ID (ORCID) (where held)	To assist with the University's REF 2021 preparations. If available this data will be submitted on the REF1a form. Data will be submitted to REF as part of the University's submission, March 2021	The University's legitimate interest.

¹ Information on Category A Submitted staff in post on the census date (31 July 2020).

² Information on staff circumstances for unit-level reduction requests, and requests to remove the minimum of one requirement.

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis, and specific condition (where relevant))</i>
Job title/position	To assist with the University's REF 2021 preparations. Data required to assist in the determination and proof of Category A Eligible staff for inclusion in the REF 2021 exercise. Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.
FTE	To assist with the University's REF 2021 preparations. Data required by REF 2021 for all Category A submitted staff on form REF1a. Data will be submitted to REF as part of the University's submission, March 2021	The University's legitimate interest.
Information about contract type (whether on a fixed term contract and the start and end date of that contract)	To assist with the University's REF 2021 preparations. Data required by REF 2021 for all Category A submitted staff on form REF1a. Data will be submitted to REF as part of the University's submission, March 2021	The University's legitimate interest.
Information about any secondments/periods of unpaid leave, including dates	To assist with the University's REF 2021 preparations. The dates required by REF 2021 for all Category A submitted staff on REF1a record. Data will be submitted to REF as part of the University's submission, March 2021 for audit purposes only	For inclusion in the REF1a record, the University's legitimate interest. Where data on secondments, career breaks or unpaid leave is used in making decisions for requests for individual or unit-level reduction requests, the legal basis for this data will be explicit consent. Data will be gathered through a secure online form, with access restricted to the minimum number of individuals required to process the decisions.
Identification as an Early Researcher according to the REF Guidance on Submission CR	Staff are identified as an ECR in 19/20 if they first became an independent researcher on or after August 2016. ECR data is required as part of the 2019-20 HESA return, to confirm numbers of ECRs submitted to REF 2021.	First legitimate interest for HESA return for 19/20 Second legitimate interest, where ECR data is used in making decisions for requests for individual or unit-level reduction requests, the legal basis for this data will be explicit consent. Data will be gathered through a secure



<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis, and specific condition (where relevant))</i>
	In relation to voluntarily declared staff circumstances for the REF6a/b record, this data will only be shared with REF if unit-level reduction requests and/or requests to remove the minimum of one requirement are made, or if required to do so on auditing.	online form, with access restricted to the minimum number of individuals required to process the decisions. Third legitimate interest, the data may be used for the initial population of field in the People and Money Talent and performance module
If employed in a research only capacity, data to identify that the individual is or is not an independent researcher. This can include details of grants held, independently won, competitively awarded fellowships held, PhD students supervised, and other information provided by schools to identify independence status.	To assist with the University's REF 2021 preparations. Data will only be shared with REF if required to do so on auditing.	Legitimate interest.
Information about maternity leave, adoption/surrogacy leave, paternity leave, shared parental leave, time off for dependants within the assessment period, including dates	Data required by REF 2021 in relation to voluntarily declared staff circumstances for form REF6a/b. Data will only be shared with REF if unit-level reduction requests and/or requests to remove the minimum of one requirement are made, or if required to do so on auditing.	Explicit consent. Data will be gathered through a secure online form, with access restricted to the minimum number of individuals required to process the decisions.
Information about any medical or health conditions you have or have had within the assessment period and any period of absence due to ill health associated with these conditions.*	Data required by REF 2021 in relation to voluntarily declared staff circumstances for form REF6a/b. Data will only be shared with REF if unit-level reduction requests and/or requests to remove the minimum of one requirement are made, or if required to do so on auditing.	Explicit consent. Data will be gathered through a secure online form, with access restricted to the minimum number of individuals required to process the decisions.

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis, and specific condition (where relevant))</i>
<p>Self-disclosed data recorded in HR system on whether an individual considers themselves to have a disability</p>	<p>To facilitate equality impact assessments (EIA) to be undertaken at key points during the REF 2021 exercise, including, but not limited to Mock REF and related exercises and preparation of codes of practice. Following data processing for the EIA, data will be anonymised (where possible) prior to being shared (EIAs will be made publicly available in 2022 following the publication of the REF2021 results). To protect the identity of individuals, data classifications of less than 5 will not be published.</p>	<p>Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities).</p>
<p>Information about protected characteristics³ including: age, nationality, sex⁴, self disclosed data on marriage and civil partnership, race and ethnicity (nationality and ethnicity)⁵, religion or religious³ beliefs, and sexual orientation³</p> <p>Pregnancy or shared parental leave is not recorded in HR system. This information will only be accessed if individual has made a special circumstances declaration.</p>	<p>To facilitate equality impact assessments to be undertaken at key points during the REF 2021 exercise, including, but not limited to the Final REF submission. Following data processing for the EIA, data will be anonymised prior to being shared (EIAs will be made publicly available in 2022). To protect the identity of individuals, data classifications of less than 5 will not be published.</p> <p>Data required by REF 2021 in relation to voluntarily declared staff circumstances for form REF6a/b. Data will only be shared with REF if unit-level reduction requests and/or requests to remove the minimum of one requirement are made, or if required to do so on auditing.</p>	<p>For Equality Impact Assessments, the University's legitimate interest.</p> <p>Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities).⁶:</p> <p>Where protected characteristic data is used in making decisions for requests for individual or unit-level reduction requests, the legal basis for this data will be explicit consent. Data will be gathered through a secure online form, with access restricted to the minimum number of individuals required to process the decisions.</p>

³ Denotes data that is classed as a "special category" of personal information.

⁴ Gender is not held in the HR system in use at the time of the REF2021 staff census.

⁵ Denotes data that might disclose a "special category".

⁶ The University must have both a legal basis and a specific condition to process "special category" personal information. Special Category is defined as personal data which is more sensitive and so needs more protection. In order to lawfully process special category data both a legal basis (under GDPR Article 6) and a separate condition (under GDPR Article 9) must be identified.

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis, and specific condition (where relevant))</i>
Grade and contract status (full-time, part-time, fixed term or open ended)	To assist with the University's REF 2021 preparations. Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.
Any other Additional information voluntarily declared by the individual in relation to staff circumstances	Data required by REF 2021 in relation to voluntarily declared staff circumstances for form REF6a/b. Data will only be shared with REF if unit-level reduction requests and/or requests to remove the minimum of one requirement are made, or if required to do so on auditing.	Explicit consent. Data will be gathered through a secure online form, with access restricted to the minimum number of individuals required to process the decisions.

Table 2: Personal data of Former or Formerly Eligible Staff

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
HESA staff identifier, PURE ID, staff number and VRS number	Data required by REF 2021 to be submitted on the REF1b ⁷ form. Data will be submitted to REF as part of the University's submission, March 2021	The University's legitimate interest.
Name (initials and surname)	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021	The University's legitimate interest.
Date of birth	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021	The University's legitimate interest.
Open researcher and contributor ID (ORCID) (where held)	To assist with the University's REF 2021 preparations. If available this data will be submitted on the REF1 record. Data will be submitted to REF as part of the University's submission, March 2021	The University's legitimate interest.

⁷Information about former or formerly eligible staff to whom submitted outputs are attributed

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
FTE of REF-eligible contract(s))	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021	The University's legitimate interest.
Job title/position when at the University	Data used solely for the REF preparation process and will be retained during the audit period for the purposes of identification Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.
Employment dates (on REF-eligible contract) at the University and as a researcher	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021	The University's legitimate interest.
Details of any periods of secondment or unpaid leave during which any outputs were first made publicly available	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021	The University's legitimate interest.
Information about protected characteristics including: age, sex ⁸ , marriage and civil partnership#, nationality and ethnicity ⁹ *, religion or religious beliefs*, and sexual orientation* No data on Pregnancy or shared parental leave is held in the HR system.	To facilitate equality impact assessments to be undertaken at key points during the REF 2021 exercise, including, but not limited to the Final REF submission. Following data processing for the EIA, data will be anonymised prior to being shared (EIAs will be made publicly available in 2022). To protect the identity of individuals, data classifications of less than 5 will not be published.	The University's legitimate interest. Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities).

⁸ The University holds 'sex' rather than gender; Gender reassignment is held in the HR system but has not been used in the REF EIAs because of limited amount of data risked identifying individuals

⁹ Race isn't held by the university. As a replacement Nationality and Ethnicity are used

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
Grade and contract status (full-time, part-time, fixed term or open ended) when at the University	Data required to assist in Equality Impact Assessments. These data items are collated because they may indicate possible indirect discrimination	The University's legitimate interest.

Table 3: Personal data of staff who have carried out research underpinning an Impact Case Study (used in REF Impact case studies) and Category C¹⁰ individuals who can be mentioned in REF5b for UoAs in Main Panel A)

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
Staff reference code (academic visitor number, where available)	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF submission). Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.
Name (initials and surname)	Where the individual is responsible for underpinning research for an impact case study, data is required by REF 2021 to be submitted on the REF3 form ¹¹ . Data will be submitted to REF as part of the University's submission, March 2021 Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF submission, including through the REF5b form). Data relating to these individuals will only be shared with REF if required to do so on auditing.	The University's legitimate interest.

¹⁰ Individuals who have not been University staff but are embedded within the research activity of the UoA can be mentioned in the REF5B of UoAs in Panel A as Category C. Such individuals can be listed as having carried out the underpinning research in the REF3 of all UoAs

¹¹ Case studies describing specific examples of impacts achieved during the assessment period (1 August 2013 to 31 July 2020), underpinned by excellent research in the period 1 January 2000 to 31 December 2020

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
Employing organisation	Where the individual is responsible for underpinning research for an impact case study, data is required by REF 2021 to be submitted on the REF3 record ¹² . Data will be submitted to REF as part of the University's submission, March 2021 Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF5bs). Data relating to these individuals will only be shared with REF if required to do so on auditing.	The University's legitimate interest.
Position/job title (including: details about specific research responsibilities)	Where the individual is responsible for underpinning research for an impact case study, data is required by REF 2021 to be submitted on the REF3 form ¹³ . Data will be submitted to REF as part of the University's submission, March 2021	The University's legitimate interest.
Period(s) employed by the University in the relevant UoA or periods associated as an Cat C (such an honorary position(s); and duration of affiliation)	Where the individual is responsible for underpinning research for an impact case study, data is required by REF 2021 to be submitted on the REF3 form ¹⁴ . Data will be submitted to REF as part of the University's submission, November 2020. For Panel A, periods of affiliation of individuals identified as a Cat Cs and are mentioned in the UoA's REF5B will be required to be available to REF 2021 for audit purposes if claims made in the REF5b have to be verified Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.

¹² Case studies describing specific examples of impacts achieved during the assessment period (1 August 2013 to 31 July 2020), underpinned by excellent research in the period 1 January 2000 to 31 December 2020

¹³ Case studies describing specific examples of impacts achieved during the assessment period (1 August 2013 to 31 July 2020), underpinned by excellent research in the period 1 January 2000 to 31 December 2020

¹⁴ Case studies describing specific examples of impacts achieved during the assessment period (1 August 2013 to 31 July 2020), underpinned by excellent research in the period 1 January 2000 to 31 December 2020

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
Details of any teams/groups/collaborators that the individual has/is a member of at the University	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF submission, including through the REF5b form). Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.
Details of any student supervision that the individual has undertaken at the University	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF submission, including through the REF5b form). Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.
Funding (including: details of grants held during the assessment period)	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF submission, including through the REF5b form). Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.

Table 4: Personal data of graduates from research postgraduate degree programmes

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
Names, matriculation numbers, date of completion of study, degree supervisors	To process this data to provide statistical information on the total numbers of doctoral degrees awarded per UOA. These statistics will be returned as REF4a and may be referred to in the environment statement (REF5a and 5b). The Data used to produce the REF4A data will only be shared with REF if required to do so for auditing.	The University's legitimate interest.
Names and staff or Academic visitor numbers for current and former staff as well as those who are academic visitors	To process this data to provide statistical information on the total numbers of doctoral degrees awarded per UOA. These statistics will be returned as REF4a and may be referred to in the environment statement (REF5a and 5b). Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.

Table 5: Personal data of Witnesses/Testimonial Providers for REF3

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
Organisation	<p>Data required by REF 2021 to be submitted on the REF3 record available to REF administration and panel for review and audit purposes.</p> <p>Where an individual has provided data or a testimonial (including data) to corroborate key claims made by the University on the REF3 form, data may be submitted to REF as part of the University's submission, March 2021</p> <p>If required, UoA can provide a redacted REF3 providing they indicate this at submission before the REF3 record is published.</p>	The University's legitimate interest.
Position (where appropriate)	<p>Data required by REF 2021 to be submitted on the REF3 record available to REF administration and panel for review and audit purposes.</p> <p>Where an individual has provided data or a testimonial (including data) to corroborate key claims made by the University on the REF3 form, data may be submitted to REF as part of the University's submission, March 2021</p> <p>If required, data will be redacted before the REF3 record is published.</p>	The University's legitimate interest.
Name	<p>Data required by REF 2021 to be submitted on the REF3 record available to REF administration and panel for review and audit purposes.</p> <p>Where an individual has provided data or a testimonial (including data) to corroborate key claims made by the University on the REF3 form, data may be submitted to REF as part of the University's submission, March 2021</p>	The University's legitimate interest.



<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
	If required, data will be redacted before the REF3 record is published.	
Contact details	Data required by REF 2021 to be submitted on the REF3 submission system available to REF administration for audit purposes. Where an individual has provided data or a testimonial (including data) to corroborate key claims made by the University on the REF3 form, data may be submitted to REF as part of the University's submission, March 2021 Data will not be published.	The University's legitimate interest.

Table 6: Personal data of industrialists providing corroborating statements for outputs UOAs 11 (Computer Science and Informatics) and 12 (Engineering)

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
Organisation	Data required by REF 2021 to be submitted on the REF2 record as part of the University's submission in March 2021 . This data will be available to REF administration and panel for review and audit purposes. Data will provide corroboration of key claims of industrial output significance.	The University's legitimate interest.
Position (where appropriate)	Data required by REF 2021 to be submitted on the REF2 form as part of the University's submission in March 2021 for corroboration of key claims of industrial output significance. Data required by to verify that an individual fulfils the role of 'senior industrialist'.	The University's legitimate interest.
Name	Data will only be submitted to UKREF if required as part of audit for corroboration of key claims of industrial output significance	The University's legitimate interest.

The information the University holds	What the University needs it for	Why the University processes it (i.e. the legal basis)
Contact details	Data will only be submitted to REF if required as part of audit for corroboration of key claims of industrial output significance	The University's legitimate interest.

Table 7: Third parties the University may share your data with and publication of data

<p>Organisations</p> <ul style="list-style-type: none"> - UK Higher Education government funding bodies that run Research Excellence Framework (REF 2021), including the Scottish Funding Council; Department for the Economy, Northern Ireland; and Higher Education Funding Council for Wales. The REF is managed by Research England (part of UK Research and Innovation (UKRI)) on behalf of the four UK higher education funding bodies. For the purposes of REF 2021, UKRI has the role of 'data controller' for personal data submitted by the University to REF. The UK REF privacy notice can be found here: https://www.ref.ac.uk/submission-system/privacy-notice/ The UKRI general Privacy Notice is available here: https://www.ukri.org/privacy-notice/ - Higher Education Statistics Agency HESA; see the collection notice at http://www.hesa.ac.uk/collection-notices. Data returned to REF will be linked to that held on the HESA staff record to allow UKRI and the funding bodies to conduct additional analysis into REF 2021 and fulfil their statutory duties under the Equality Act 2010 (England, Wales and Scotland) or the Northern Ireland Act 1998 (Northern Ireland). - Research Councils, and other prospective and actual funders of research. <p>Other users</p> <ul style="list-style-type: none"> - UKRI, HESA and the funding bodies will use data to analyse and monitor the REF 2021 exercise. This may result in information being released to other users including academic researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable. UKRI has stated that they will require anyone who has access to these data to respect its confidentiality and only process them in accordance with instructions issued for the purposes specified by UKRI. - For the purpose of conducting a systematic evaluation of submissions, in accordance with predetermined criteria and methods, UKRI will share certain data with the Equality & Diversity Advisory Panel and Main Panel Chairs. Panel members are all independent of UKRI, but will be bound by confidentiality arrangements and will not make judgements about the material contained in submissions, including about individuals. - Individuals who exercise their legal right to access recorded information held by the University under information legislation, particularly the Freedom of Information (Scotland) Act 2002 and data protection law (General Data Protection Regulation (GDPR) and Data Protection Act 2018). The University will normally only disclose work-related or professional information about its members of staff and will inform or consult any members of staff concerned where disclosure would not reasonably be expected.
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Other Higher Education Institutions (HEI)

- **HEIs** with which the University are in partnership for specific REF 2021 Unit of Assessment (UOA) Joint Submissions. In this instance, only data that will be submitted on the REF1a form (all non-special category data) for staff within a particular UOA would be shared with the partner institution for that UOA. We have formal agreements (Memoranda of Understanding and Data Processing/Sharing Agreements) with these institutions which will ensure the responsible use, storage and timely disposal of any University of Edinburgh staff personal data.

Public realm

- The results of the assessment exercise will be published by UKRI, on behalf of the funding bodies, in April 2022. Personal data that may feature will be strictly limited and will only include:
 - o **For current staff:** names and job titles may feature in the factual data and textual information presented in environment statements (REF5a/b). Employment dates will also feature in impact case studies in respect of those listed as carrying out the underlying research (REF3). Note that UKRI will publish submissions, including a list of the outputs submitted in each UOA, but this will not be presented by author name, and the published submission will neither identify individuals nor their specific contributions.
 - o **For former or formerly eligible staff:** names and job titles (when employed by the University) may feature in the factual data and textual information presented environment statements (REF5a/b). Employment dates will also feature in impact case studies in respect of those listed as carrying out the underlying research (REF3). Note that UKRI will publish submissions, including a list of the outputs submitted in each UOA, but this will not be presented by author name, and the published submission will neither identify individuals nor their specific contributions
 - o **For Category C staff:** names, job titles (and/or affiliations to the University), dates of affiliated relationship to the UoAs, and name of employing organisations may feature in the factual data and textual information presented in impact case studies (REF3). Panel A UoAs may provide the names and job titles of Cat Cs mentioned in their REF5b
 - o **For graduates from research postgraduate degree programmes:** no information about individual graduates will be published as part of REF.
 - o **For impact case study witnesses/testimonial providers:** organisations and job titles (so long as this would not identify the individual) may appear in the factual data and textual information presented in impact case studies (REF3).
 - o **For industrialists providing corroborating statements for outputs:** job titles and organisation names will be published alongside the outputs for UOAs 11 and 12.